

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

**William ORTNER et al.**

Group Art Unit: **3693**

Serial No.: **10/628,208**

Examiner: **Jason BORLINGHAUS**

Filed: **July 29, 2003**

For: **METHOD AND SYSTEM FOR PROVIDING MANDATORILY CONVERTIBLE  
SECURITIES WITH AN ASSOCIATED CALL SPREAD AGAINST A TRUST**

**RESPONSE TO RESTRICTION REQUIREMENT**

United States Patent and Trademark Office  
Customer Service Window, Mail Stop Amendment  
Randolph Building  
Alexandria, VA 22314

Sir:

In response to the non-final Office Action mailed November 29, 2007, the undersigned respectfully requests reconsideration of the rejections of record in light of the following amendments and remarks.

**Amendments to the Claims** are reflected in the Listing of Claims which begins on page 2.

**Remarks** begin on page 6.